



Attorney Docket No. 51916 (ACT-121)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Steinberg et al.

U.S.S.N.: 09/614,155

Art Unit: 2839

FILED: July 11, 2000

Examiner: Hae M. Hyeon

FOR: OPEN FACE OPTICAL FIBER ARRAY FOR COUPLING TO INTEGRATED
OPTIC WAVEGUIDES AND OPTOELECTRONIC SUBMOUNTS

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an
Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the
Examiner are listed on the PTO-1449 form, attached hereto.

In addition to the aforesaid references, Applicants wish to bring to the attention of
the Examiner co-pending U.S. Application Serial No. 09/827,183, filed April 6, 2001,
which application is assigned to the Assignee of the subject application. A copy of the
application as filed is attached hereto. By citation of this co-pending application, secrecy
thereof is not waived.

II. COPIES

Submitted herewith is a legible copy of (i) each U.S and foreign patent or English
abstract of foreign patent; (ii) each publication or that portion which caused it to be listed;
and (iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE

Documents AA-AG and BA are in the English language, were cited in an English
language Search Report or include an English language abstract, a copy of which is
attached hereto (concise explanation not required). Document BB (DE 3914835 C1)
belongs to the same patent family as EP 0 395 854 B1 for which an English language
abstract is attached.

FEES

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)

(check one box)

- a. ☒ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.
- c. ☐ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):

(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. ☐ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).
- or
- b. ☐ See the certification below. No fee is required.

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby certifies that


- a. ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS;
or

- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.
- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

- ☐ Enclosed please find a check in the amount of \$_____ for the above indicated fee.
- ☐ Please charge Deposit Account No. 04-1105 in the amount of \$180.00 for the above-indicated fee. A triplicate copy of this paper is attached.
- ☒ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,


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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	ATTY DOCKET NO. 51916 (ACT-121)	SERIAL NO. 09/614,155
	APPLICANT(S): Steinberg et al.	
	FILING DATE: 07/11/2000	ART UNIT: 2839

UNITED STATES PATENT DOCUMENTS

EXAM. INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FIL. DATE IF APPR
	AA	5,073,003	12/17/1991	Clark			
	AB	5,479,540	12/26/1995	Boudreau et al.			
	AC	5,535,296	07/09/1996	Uchida			
	AD	5,577,142	11/19/1996	Mueller-Fiedler et al.			
	AE	5,627,931	05/06/1997	Ackley et al.			
	AF	6,132,107	10/17/2000	Morikawa			
	AG	6,241,399	06/05/2001	Nobuhara			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRAN YES/NO
	BA	0 395 854 B1 (with English Abstract)	07/20/1994	Europe			
	BB	3914835 C1	07/26/1990	Germany			

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

Examiner:

Date: